



4910-06-P

DEPARTMENT OF TRANSPORTATION

Federal Railroad Administration

Proposed Agency Information Collection Activity; Comment Request

[Docket No. FRA 2016-0002-N-16]

AGENCY: Federal Railroad Administration (FRA), U.S. Department of Transportation.

ACTION: Notice and request for comments.

SUMMARY: Under the Paperwork Reduction Act of 1995 (PRA) and its implementing regulations, FRA is informing the public it has revised the Annual Positive Train Control (PTC) Progress Report Form (Form FRA F 6180.166), which the Office of Management and Budget (OMB) previously approved on March 16, 2016, for a period of 180 days, under its emergency processing procedures. FRA revised the Annual PTC Progress Report Form based on comments it received from industry stakeholders on a related information collection, the Quarterly PTC Progress Report Form (Form FRA F 6180.165). Before submitting this annual information collection request to OMB for regular clearance, FRA is soliciting public comment on specific aspects of the proposed information collection identified below.

DATES: Comments must be received no later than [INSERT DATE 60 DAYS AFTER THE DATE OF PUBLICATION IN THE FEDERAL REGISTER].

ADDRESSES: Submit written comments on the following proposed activity by mail to either: Mr. Robert Brogan, Office of Safety, Planning and Evaluation Division, RRS-21, Federal Railroad Administration, 1200 New Jersey Ave., SE, Mail Stop 17, Washington,

DC 20590, or Ms. Kimberly Toone, Office of Information Technology, RAD-20, Federal Railroad Administration, 1200 New Jersey Ave., SE, Mail Stop 35, Washington, DC 20590. Commenters requesting FRA to acknowledge receipt of their respective comments must include a self-addressed stamped postcard stating, "Comments on OMB control number 2130-0553." Alternatively, comments may be transmitted via facsimile to (202) 493-6216 or (202) 493-6497, or via e-mail to Mr. Brogan at Robert.Brogan@dot.gov, or to Ms. Toone at Kim.Toone@dot.gov. When submitting comments to FRA in response to this notice, please refer to the assigned OMB control number 2130-0553 and to Docket Number FRA-2016-0002-0016. FRA will summarize comments received in response to this notice in a subsequent notice and include the comments in its information collection submission to OMB for approval.

FOR FURTHER INFORMATION CONTACT:

Mr. Robert Brogan, Office of Planning and Evaluation Division, RRS-21, Federal Railroad Administration, 1200 New Jersey Ave., SE, Mail Stop 17, Washington, DC 20590 (telephone: (202) 493-6292) or Ms. Kimberly Toone, Office of Information Technology, RAD-20, Federal Railroad Administration, 1200 New Jersey Ave., SE, Mail Stop 35, Washington, D.C. 20590 (telephone: (202) 493-6132). (These telephone numbers are not toll-free.)

SUPPLEMENTARY INFORMATION:

I. Public Comment under the PRA

The PRA and its implementing regulations require Federal agencies to provide 60-days' notice to the public for comment on information collection activities before

seeking approval for reinstatement or renewal by OMB. See 44 U.S.C. 3506(c)(2)(A) (1995); 5 CFR 1320.8(d)(1), 1320.10(e)(1), 1320.12(a). Specifically, FRA invites interested respondents to comment on: (i) whether the information collection activity is necessary for FRA to properly execute its functions, including whether the activity will have practical utility; (ii) the accuracy of FRA's estimates of the burden of the information collection activity, including the validity of the methodology and assumptions used to determine the estimates; (iii) ways for FRA to enhance the quality, utility, and clarity of the information being collected; and (iv) ways for FRA to minimize the burden of the information collection activity on the public by automated, electronic, mechanical, or other technological collection techniques or other forms of information technology (e.g., permitting electronic submission of responses). See 44 U.S.C. 3506(c)(2)(A)(i)-(iv); 5 CFR 1320.8(d)(1)(i)-(iv). FRA believes soliciting public comment will promote its efforts to reduce the administrative and paperwork burdens associated with the collection of information. In summary, FRA reasons that comments received will advance three objectives: (i) reduce reporting burdens; (ii) ensure that it organizes information collection requirements in a "user friendly" format to improve the use of such information; and (iii) accurately assess the resources expended to retrieve and produce information requested. See 44 U.S.C. 3501.

II. Background on the Annual PTC Reporting Requirement

Under the Positive Train Control Enforcement and Implementation Act of 2015 (PTCEI Act), each railroad subject to 49 U.S.C. 20157(a) must submit an annual progress report to FRA by March 31, 2016, and annually thereafter, until PTC implementation is

completed. 49 U.S.C. 20157(c)(1). The PTCEI Act specifically requires each railroad to provide certain information in the annual reports regarding its progress toward implementing a PTC system, and authorizes FRA to request that railroads provide additional information in the annual progress reports. See id. In addition, 49 U.S.C. 20157(c)(2) requires FRA to conduct compliance reviews at least annually to ensure each railroad is complying with its revised PTC implementation plan (PTCIP). The PTCEI Act requires railroads to provide information to FRA that FRA determines is necessary to adequately conduct such compliance reviews. See 49 U.S.C. 20157(c)(2).

On March 16, 2016, OMB approved the Annual PTC Progress Report Form (Form FRA F 6180.166). However, based on industry's oral and written comments on the proposed Quarterly PTC Progress Report Form (Form FRA F 6180.165), FRA has revised the Annual PTC Progress Report Form to be as consistent with the quarterly report form as possible (where the questions overlap), thereby enabling railroads to transfer information from the quarterly report forms to the annual report forms more easily. In summary, on April 12, 2016, the Association of American Railroads (AAR) submitted comments to FRA on behalf of itself and its member railroads, and the American Public Transit Association (APTA) submitted comments to FRA on behalf of Metra, the Utah Transit Authority, the Tri-County Metropolitan Transportation District of Oregon, and the Fort Worth Transportation Authority.

On April 19, 2016, FRA held a meeting on the proposed Quarterly PTC Progress Report Form to offer the affected regulated entities a forum to provide additional comments and feedback to FRA. Representatives from, and members of, AAR, APTA,

the American Short Line and Regional Railroad Association (ASLRRA), and some individual railroad representatives attended the meeting and provided feedback. FRA published minutes from the meeting on www.regulations.gov under Docket No. FRA-2016-0002. For a detailed summary of the oral and written comments and FRA's responses to the comments, please see 81 FR 28140 (May 9, 2016).

The current Annual PTC Progress Report Form, as approved through September 30, 2016, can be accessed and downloaded in FRA's eLibrary at:

<https://www.fra.dot.gov/eLib/details/L17366>. To view the revised Annual PTC Progress Report Form that FRA hereby offers for public comment, please see the form attached to this Federal Register notice.

III. Overview of Information Collection

The associated collection of information is summarized below. FRA will submit this information collection request to OMB for regular clearance as required by the PRA.

Title: Annual Positive Train Control Progress Report

OMB Control Number: 2130-0553

Form Number(s): FRA F 6180.166

Affected Public: Businesses

Frequency of Submission: One-time; on occasion

Respondent Universe: 41 Railroad Carriers

Reporting

Burden:

Annual PTC Progress Report	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
Form FRA F 6180.166	41 Railroads	41 Reports/Forms	38.41 hours	1,575 hours

FRA notes that the 38.41-hour estimate is an average for all railroads. FRA estimated the annual reporting burden is 60 hours for Class I and large passenger railroads, 40 hours for Class II and medium passenger railroads, and 25 hours for Class III, terminal and small passenger railroads.

Total Estimated Annual Responses for Form FRA F 6180.166: 41

Total Estimated Annual Burden for Form FRA F 6180.166: 1,575 hours

Total Estimated Annual Responses for Entire Information Collection: 147,612

Total Estimated Annual Burden for Entire Information Collection: 3,122,559

Status: Regular Review

Under 44 U.S.C. 3507(a) and 5 CFR 1320.5(b) and 1320.8(b)(3)(vi), FRA informs all interested parties that it may not conduct or sponsor, and a respondent is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Authority: 44 U.S.C. 3501-3520.

Issued in Washington, DC on June 20, 2016.

Corey Hill,
Executive Director.

Annual PTC
Progress
Report

[Year]

[Railroad Name]

[Docket Number]

The Annual Positive Train Control (PTC) Progress Report is due by March 31st of each year until full PTC system implementation is completed. The Annual PTC Progress Report must cover the railroad's implementation efforts and progress from the directly previous calendar year, and must be submitted electronically to the Federal Railroad Administration (FRA) via the FRA Secure Information Repository at <https://sir.fra.dot.gov>.

General Instructions:

1. References to a railroad's PTC Implementation Plan (PTCIP) in this form refer to the railroad's revised PTCIP submitted under the Positive Train Control Enforcement and Implementation Act of 2015, or the most current amended PTCIP FRA has approved, if any;
2. If a particular category listed in a table does not apply to the railroad's technology, please indicate "N/A"; and
3. For Sections 2, 4, and 6, please select a "Status" option from the drop-down menus provided.

Name of Railroad or Entity Subject to 49 U.S.C. § 20157(a): [Click here to enter railroad name.](#)

Railroad Code: [Choose railroad code.](#)

Annual PTC Implementation Progress Report for: [Choose the applicable year.](#)

PTCIP Version Number on File with FRA (basis for goals stated): [Click here to enter PTCIP Version Number.](#)

Submission Date: [Click here to enter a date.](#)

Contents

1. Summary	1
2. Annual Update on Spectrum	2
3. Annual Update on Major Installations	3
3.1. Locomotive Status	3
3.2. Infrastructure/Back Office Status	4
3.3. Infrastructure/Wayside Status	5
4. Progress on Revenue Service Demonstration (RSD) or Implementation	6
5. Annual Update on Employee Training	7
6. Annual Update on Interoperability Progress and Other Formal Agreements	8
7. Progress on Implementation Schedule/Milestones	9
8. Summary Update of Challenges/Risks	9
9. Annual Update for Intercity or Commuter Rail Passenger Transportation (if applicable)	9

10. Estimated PTC Safety Plan (PTCSP) Submission Date (if not already submitted)10

11. Testing and Integration Efforts (if applicable, laboratory, integration, and revenue service demonstration)10

12. Updated Information That FRA Can Use to Maintain Its Geographic Information System (GIS) Database – Only for Track Segments or Route Miles Complete and Operable10

1. Summary

Category	Quantity Completed During Calendar Year	PTCIP Year End Goal (If Applicable)	Cumulative Quantity Completed To Date	Total Quantity Required for PTC Implementation
Locomotives Fully Equipped and PTC Operable	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Installation/Track Segments Completed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Radio Towers Fully Installed and Equipped	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Employees Trained	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Route Miles In Testing or Revenue Service Demonstration	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).
Route Miles in PTC Operation	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).

Provide a narrative summary of overall PTC implementation progress during the preceding calendar year (January 1 to December 31):

Click here to enter text.

2. Annual Update on Spectrum

Area or Location (e.g., county) That Requires Spectrum, as Reported in PTCIP ¹	Status at End of Calendar Year	Projected Status That Was Listed in PTCIP for Calendar Year
Spectrum Coverage Area or Location†: Click here to enter text.	Choose status.	Choose status.

†Note: To add rows for additional spectrum areas or locations, click on the blue “+” symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

Describe the basis for how the railroad is determining that the acquired spectrum is available for use by PTC radios (e.g., ensuring non-interference with other radios), and provide any additional narrative for Spectrum below:

Click here to enter text.

¹ If the railroad reported in its PTCIP that all necessary spectrum had been acquired and was available for use, or the railroad's technology does not require the use of spectrum, please indicate "N/A" in this table.

3. Annual Update on Major Installations

3.1. Locomotive Status

Category / Installation Feature	Quantity Installed During Calendar Year (Sum of Quarterly Totals)	PTCIP Year End Goal (If Applicable)	Cumulative Quantity Installed	Grand Total Reported in PTCIP (If Applicable)
Locomotive (Apparatus)²				
Locomotives with On-board Computers (e.g., Train Management Computer) Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with PTC Displays Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with PTC-Capable Event Recorders Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with Locomotive Radios Installed – Primary Communications (e.g., 220 MHz radios)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Transponder Readers (e.g., for non I-ETMS systems)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

PTC Software: Describe 1) the railroad's approach to installation of PTC software on its locomotive fleet, and 2) any issues the railroad is experiencing with installed versions of train management software (e.g., reverting back to previous software versions due to errors in the current version):

Click here to enter text.

² If a particular category listed in this table does not apply to the railroad's technology, please indicate "N/A." A railroad may add categories or subcategories if it wants to provide more detail.

Provide any additional narrative for Locomotive Status below:

Click here to enter text.

3.2. Infrastructure/Back Office Status

Infrastructure – Back Office Systems		Met PTCIP Year-End Goal for Installation of Physical Back Office System Equipment? (Choose Yes, No, or N/A)
How many physical back office locations are required for PTC operations, as reported in the PTCIP?	Click here to enter quantity.	
How many physical back office locations have been constructed with all necessary equipment installed?	Click here to enter quantity.	Choose Yes, No, or N/A.
Are the Back Office Location(s) fully operable with PTC?	Choose Yes or No.	
Are the Dispatching Location(s) fully operable with PTC?	Choose Yes or No.	

Provide any additional narrative for Infrastructure/Back Office Status below:

Click here to enter text.

3.3. Infrastructure/Wayside Status

Category / Installation Feature	Quantity Installed During Calendar Year (Sum of Quarterly Totals)	PTCIP Year End Goal ³	Cumulative Quantity Installed	Grand Total Reported in PTCIP
Infrastructure – Wayside Installations (Systemwide)⁴				
Wayside Interface Units	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Communication Towers or Poles	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Switch Position Monitors	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Wayside Radios	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Base Station Radios	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Are all necessary communication backbone utilities (including fiber, copper, ground wiring etc.) installed and ready for operation? Choose Yes or No.				

Provide any additional narrative for Installation/Wayside Status below:

Click here to enter text.

³ Unlike the heading in table 3.1, this heading is not qualified with "(If Applicable)" because each railroad was required to provide year-end goals for these particular hardware categories under the PTC Enforcement and Implementation Act of 2015.

⁴ If a particular category listed in this table does not apply to the railroad's technology, please indicate "N/A." A railroad may add categories or subcategories if it wants to provide more detail.

4. Progress on Revenue Service Demonstration (RSD) or Implementation⁵

Segment Identification ⁶	Status at End of Calendar Year <i>Current status of installation/track segment.</i> Choose one:	Number of Route Miles in Segment	Estimated Start Date for Revenue Service Demonstration (if not already completed)
Segment (add additional rows for segments as necessary): Click here to enter segment identification.	Choose status.	Click here to enter number of route miles.	Click here to enter Date.

Note: To add additional rows, click on the blue "+" symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

Provide any additional narrative for Revenue Service Demonstration or Implementation below:

Click here to enter text.

⁵ For passenger rail operations, this information should be further segregated into those routes where it is a host or tenant.

⁶ Segment identification should be consistent with installation segments as listed in the railroad's PTCIP (e.g., by track segment, territory, subdivision, district, etc.).

5. Annual Update on Employee Training

Employee Category ⁷	Number of Employees Trained During Calendar Year (Sum of Quarterly Totals)	PTCIP Year End Goal	Cumulative Number of Employees Trained	Grand Total Reported in PTCIP
Employees who Install, Maintain, Repair, Modify, Inspect, and Test the PTC System	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Employees who Dispatch Train Operations	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Train and Engine (Operations) Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Roadway Worker Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Direct Supervisors of the Above Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.

Provide any additional narrative for Employee Training below:

Click here to enter text.

⁷ See 49 C.F.R. § 236.1041(a).

6. Annual Update on Interoperability Progress and Other Formal Agreements

This section is provided to help railroads describe interoperability information. Please provide any additional information (e.g., an appendix) as appropriate.

Required content:

- For host railroads: provide updates to any agreements and key milestones for all tenant operations
- For tenant railroads: provide updates to any agreements and key milestones for all operations over tracks hosted by another railroad

Host and Tenant Railroads: Provide a general update on interoperability in the textbox below:

Click here to enter text.

Host Railroads Only: For each tenant, provide additional tenant information below:

Tenant Identification <i>(add rows for additional tenants as necessary)</i>	Estimated Quantity of Tenant Rolling Stock to be Equipped with PTC <i>(if the tenant does not have a separate PTCIP on file)</i>	Current Tenant Implementation Status <i>Choose one:</i>
Click here to enter tenant's full name.	Click here to enter estimated tenant locomotive fleet.	Choose status.

Note: To add additional rows, click on the blue "+" symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

7. Progress on Implementation Schedule/Milestones

Describe the extent to which the railroad or other entity is not complying with the implementation schedule it provided in its PTCIP:

Click here to enter text.

8. Summary Update of Challenges/Risks

Provide any update to the summary of remaining technical, programmatic, operational, or other challenges that the railroad or other entity provided in its PTCIP, including challenges with availability of public funding, interoperability, spectrum, software, permitting, and testing, demonstration, and certification. Also, identify any risks that might cause the railroad to miss its schedule milestones (e.g., funding, technology, agreements):

Click here to enter text.

9. Annual Update for Intercity or Commuter Rail Passenger Transportation (if applicable)

If this section is not applicable to your railroad, please write "N/A."

For each entity providing regularly scheduled intercity or commuter rail passenger transportation, provide a description of the resources identified and allocated to implement a PTC system:

Click here to enter text.

10. Estimated PTC Safety Plan (PTCSP) Submission Date (if not already submitted)

If this section is not applicable to your railroad, please write "N/A."

PTCSP Submission Date

Click here to enter PTCSP
Submission Date.

Provide any additional narrative for PTCSP Submission below:

Click here to enter text.

11. Testing and Integration Efforts (if applicable, laboratory, integration, and revenue service demonstration)

Provide an update on testing and integration efforts below:

Click here to enter text.

12. Updated Information FRA Can Use to Maintain Its Geographic Information System (GIS) Database – Only for Track Segments or Route Miles Complete and Operable

Submit a GIS shapefile identifying the track segments or route miles where a PTC system has been implemented and is operable, including the following fields: (1) a PTC attribute field (coded with "Y" if line segment has PTC installed and operable, otherwise left blank) and (2) a SUBDIV attribute field (populated with subdivision name). Alternatively, a railroad may submit this information by means other than shapefile format, provided that the information is sufficiently specific for FRA to update its own GIS Database.

Provide any additional narrative for GIS Information below:

Click here to enter text.

Public reporting burden for this information collection is estimated to average 38.41 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0553**. All responses to this collection of information are mandatory. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden to: Information Collection Officer, Federal Railroad Administration, 1200 New Jersey Avenue, S.E., Washington D.C. 20590.